



U.S. Department of Transportation
Office of the Secretary of Transportation

INVENTION RIGHTS

DISCLOSURE NO.

Security classification

INSTRUCTIONS

General:

1. Under Executive Order 10096, 23 January 1950 as amended by Executive Order 10930, and DOT Order 2100.3, whenever an invention is made by Department of Transportation personnel it is necessary to determine the rights in the invention as between the Government and the inventor. There are three ways in which rights may be determined: (1) the inventor may be entitled to all rights and the Government to none (and hence the inventor need sign no document giving any rights to the Government); (2) the Government may be entitled to a license permitting it to use and practice the invention and the inventor entitled to all other rights (hence the inventor signs a license to the Government); (3) the Government may be entitled to all rights and the inventor to none (and hence the inventor signs an assignment to the Government).

2. Separate and distinct from the determination of rights, and even though it may appear that the inventor is entitled to all rights in the invention, the inventor may sign a license permitting the Government to use and practice the invention in return for which the Government will prosecute an application for a patent on the invention at no expense to the inventor, provided the Government is sufficiently interested in the invention.

Specific:

1. Separate forms will be submitted in duplicate together with duplicate copies of DOT Form 2000.1, Disclosure of Inventions and DOT Form 2000.2, Record of Inventions to the Office of Patent Counsel in accordance with paragraph 6, DOT 2100.3, by the inventor and each co-inventor.

2. Print or type all answers.

3. If the inventor (and co-inventors) desire to voluntarily assign all rights in the invention to the Government, he should check 7a below as applicable, complete the answers to question 7 of this questionnaire and sign in the place provided at the end of question 7. The remaining questions then need not be answered.

4. If the inventor does not desire to voluntarily assign all rights in the invention to the Government, it is necessary that all questions be answered completely. The determination of rights in the invention depends upon the facts and circumstances under which the invention was made. In almost every case, a failure to provide sufficient information works to the disadvantage of the inventor. Every question must be answered. If more space is needed to fully answer any question(s) use blank sheets, identify the question(s) and attach. Print or type all answers.

SECTION A.—BASIC DATA

1. BRIEF TITLE OF INVENTION	2. NAME OF INVENTOR	
3. TITLE OF POSITION OR DUTY ASSIGNMENT	4. GRADE AT TIME INVENTION WAS MADE	
5. NAME AND ADDRESS OF AGENCY ACTIVITY WHERE EMPLOYED	ROUTING SYMBOL	WORK PHONE

6. BRIEF SUMMARY OF INVENTION

7. KEEPING IN MIND THE STATEMENTS OF PARAGRAPH 1 AND 2 OF THE ABOVE INSTRUCTIONS, CHECK ONE OF THE FOLLOWING.	
<input type="checkbox"/> a. I Desire to assign to the United States Government the entire right, title and interest in and to the above identified invention. (For the record, I have been advised of the full import of an assignment and am aware of my rights of appeal under Executive Order 10096, as amended by Executive Order 10930.)	
<input type="checkbox"/> b. I desire to license the United States Government in the above identified invention in accordance with 1(b) of Executive Order 10096, as amended by Executive Order 10930.	
<input type="checkbox"/> c. I do not desire to give the U.S. Government any rights in and to the invention.	
NOTE: Date and sign here only if item 7a is checked.	

DATE	SIGNATURE OF INVENTOR (Or co-inventor)	Security classification
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SECTION B—MAKING THE INVENTION

NOTE: The making of an invention generally involves its conception or discovery followed by a series of acts which establish the correctness or operativeness of the idea. Depending on the nature of the invention, these acts may involve any one or all of the following: the making of sketches, drawings, written descriptions, the making and testing of a model, the carrying out of a process, or the production of a composition of matter.

1.	BEFORE THE INVENTION WAS PHYSICALLY TRIED OUT OR PRODUCED IN MODEL OR WORKING FORM OR A COMPOSITION OF MATTER PRODUCED, WERE THE ESSENTIAL ELEMENTS OF THE INVENTION IN ITS OPERABLE AND PRACTICABLE FORM FULLY DISCLOSED IN WRITTEN DESCRIPTION, SKETCHES OR DRAWINGS IN SUCH A MANNER THAT THE INVENTION COULD BE PRODUCED OR PRACTICED FROM THEM WITHOUT THE EXERCISE OF ANY FURTHER INVENTIVE SKILL BY A PERSON WHO IS IN THE FIELD TO WHICH THE INVENTION RELATES? <input type="checkbox"/> YES <input type="checkbox"/> NO. IF THE ANSWER IS "YES", GIVE THE DATE SUCH DESCRIPTIONS, SKETCHES OR DRAWINGS WERE COMPLETED _____		
2.	WAS A FULL SCALE WORKING MODEL OR A PROTOTYPE OF THE INVENTION MADE: OR, IF THE INVENTION IS A PROCESS, WAS THE PROCESS TRIED OUT: OR, IF THE INVENTION IS A COMPOSITION OF MATTER, WAS A COMPOSITION PRODUCED? <input type="checkbox"/> YES (State date _____) <input type="checkbox"/> NO		
3.	IF A MODEL OR PROTOTYPE WAS MADE AND TESTED, A COMPOSITION PRODUCED OR A PROCESS CARRIED OUT, WAS IT DONE BECAUSE (Check)	YES	NO
	A. IT WAS DESIRED TO TEST THE OPERABILITY OR PRACTICABILITY OF THE INVENTION?		
	B. IT WAS DESIRED TO TEST THE USEFULNESS OF THE INVENTION TO THE GOVERNMENT?		
	C. OTHER REASON (Explain)		
4.	APPROXIMATELY HOW MUCH TOTAL TIME WAS SPENT BY YOU PERSONALLY IN MAKING THE INVENTION? _____	OWN TIME IN HOURS (Outside working hours) _____	GOVERNMENT TIME (Working hours including paid overtime) IN HOURS _____
5.	EXPLAIN BRIEFLY THE USE, IF ANY, OF THE FOLLOWING ITEMS IN CONNECTION WITH THE MAKING OF THE INVENTION. (NOTE: Indicate whether such use occurred PRIOR or SUBSEQUENT to either your disclosing the invention within the definition of question 1 above, or trying out or producing the invention within the definition of question 2 above).		
	A. THE USE OF GOVERNMENT FACILITIES (Buildings such as laboratories, shops, or office buildings, but not buildings such as barracks or recreation buildings):		
	B. THE USE OF GOVERNMENT EQUIPMENT (Such as instruments, tools or machinery)		
	C. THE USE OF GOVERNMENT MATERIALS (Supplies, reagents, parts, or any other materials; if scrap, waste, or salvage materials were used, so state; give estimated monetary value of materials consumed)		
	D. USE OF GOVERNMENT FUNDS (Other than salaries and wages, and Government contributions covered under other parts of this question) WHICH WERE ACTUALLY OBLIGATED OR EXPENDED FOR THE PURPOSE OF MAKING INVENTION		
	E. CONTRIBUTION BY THE GOVERNMENT OF INFORMATION (Which was available to you by reason of your official duties and not otherwise)		
	F. CONTRIBUTION OF TIME OR SERVICES OF OTHER GOVERNMENT EMPLOYEES DURING NORMAL OR OVERTIME WORKING HOURS (State approximate number of hours and type of assistance)		

SECTION C—RELATIONSHIP BETWEEN THE INVENTION AND THE INVENTOR'S DUTIES

1.	BRIEFLY, WHAT PROMPTED YOU TO MAKE THE INVENTION: OR HOW DID YOU GET THE IDEA FOR THE INVENTION?
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2.	BRIEFLY AND IN BROAD TERMS, WHAT IS THE INVENTION SUPPOSED TO ACCOMPLISH?		
3.	WERE YOU EMPLOYED OR ASSIGNED <i>(Check applicable box(es):</i>	YES	NO
	A. TO INVENT OR IMPROVE OR PERFECT ANY ART, PROCESS, MACHINE, MANUFACTURE, DESIGN, OR COMPOSITION OF MATTER?	<input type="checkbox"/>	<input type="checkbox"/>
	B. TO CONDUCT OR PERFORM RESEARCH OR DEVELOPMENT WORK?	<input type="checkbox"/>	<input type="checkbox"/>
	C. TO SUPERVISE, DIRECT, COORDINATE, OR REVIEW GOVERNMENT-FINANCED OR CONDUCTED RESEARCH OR DEVELOPMENT WORK?	<input type="checkbox"/>	<input type="checkbox"/>
	D. TO ACT IN A LIAISON CAPACITY AMONG GOVERNMENT OR NON-GOVERNMENTAL AGENCIES OR INDIVIDUALS ENGAGED IN SUCH RESEARCH OR DEVELOPMENT WORK?	<input type="checkbox"/>	<input type="checkbox"/>
4.	DESCRIBE THE DUTIES, PROJECT, OR AREA OF WORK TO WHICH YOU WERE ASSIGNED AT THE TIME THE INVENTION WAS MADE. <i>(State in sufficient detail to make them understandable.)</i>		
5.	DO YOU FEEL THAT THE INVENTION IS DIRECTLY RELATED TO YOUR WORK? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>(Briefly state your reasons)</i>		
6.	DOES THE INVENTION SOLVE A PROBLEM WHICH IN THE CIRCUMSTANCES OF YOUR DUTIES YOU COULD REASONABLY HAVE BEEN EXPECTED TO SOLVE? <input type="checkbox"/> YES <input type="checkbox"/> NO <i>(Briefly state your reasons)</i>		
7.	A. WERE YOU INVOLVED IN BASIC RESEARCH? <input type="checkbox"/> YES <i>(State briefly to what extent)</i> <input type="checkbox"/> NO		
	B. WAS THE INVENTION SUGGESTED BY THE WORK PERFORMED IN THE BASIC RESEARCH? <input type="checkbox"/> YES <i>(Explain)</i> <input type="checkbox"/> No		
8.	STATE ANY FACTS NOT COVERED IN ABOVE ANSWERS WHICH WILL HAVE A BEARING ON EITHER THE GOVERNMENT'S OR YOUR RIGHTS IN THE INVENTION.		
SECTION D—CERTIFICATION OF INVENTOR			
I CERTIFY THAT THE FOREGOING INFORMATION, STATEMENTS AND ANSWERS ARE TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF.			
DATE	SIGNATURE OF INVENTOR		

SECTION E—STATEMENT OF INVENTOR'S SUPERVISOR

1. WAS THE INVENTION THE SET GOAL OF A SPECIFIC TASK ASSIGNED TO THE INVENTOR? <input type="checkbox"/> YES <input type="checkbox"/> NO (If YES, answer to items 2 and 3 not required.)			
2. A. AT THE TIME THE INVENTION WAS MADE, WHAT CONTACT DID YOU HAVE WITH THE INVENTOR AND TO WHAT EXTENT DID YOU HAVE ACTUAL PERSONAL KNOWLEDGE OF THE INVENTOR'S DUTIES AND THE SUBSTANCE OF HIS INVENTION?			
B. AT THE TIME THE INVENTION WAS MADE:		(1) WOULD HE HAVE TO OBTAIN THE APPROVAL OF HIS SUPERIORS TO CONTINUE DEVELOPMENT WORK ON IT AS A GOVERNMENT PROJECT OR DUTY ASSIGNMENT?	YES NO
		(2) COULD HE PROCEED UNDER HIS OWN AUTHORITY?	
3. AT THE TIME THE INVENTION WAS MADE, WHAT WERE THE OFFICIAL DUTIES OF THE INVENTOR? (State in sufficient detail to make his duties understandable. If in doubt, submit a copy of his job description or so much of it as sets forth the pertinent duties. If adequately described in item 4 of Section C, state so.)			
4. A. AT THE TIME THE INVENTION WAS MADE WHAT WERE THE SPECIFIC JOB OR PROJECT ASSIGNMENTS OF THE INVENTOR WHICH RELATED TO THE INVENTION AND WHAT WERE THEY INTENDED TO ACCOMPLISH?			
B. AT THE TIME THE INVENTION WAS MADE COULD THE INVENTION REASONABLY HAVE BEEN EXPECTED TO ARISE FROM THE DUTIES OF THE INVENTOR?		YES	NO
5. TO THE BEST OF YOUR ABILITY, HOW WOULD YOU DESCRIBE THE RELATIONSHIP BETWEEN THE INVENTION AND THE INVENTOR'S SPECIFIC JOB OR PROJECT ASSIGNMENT MOST CLOSELY RELATED TO THE INVENTION AT THE TIME IT WAS MADE? (Check one only)		(1) DIRECTLY RELATED	
		(2) RELATED, BUT NOT DIRECTLY	
		(3) UNRELATED	
6. DO YOU AGREE WITH THE REPLIES WHICH THE INVENTOR MADE TO EACH OF THE SECTIONS A THROUGH C? (If the answer is "NO" comment on those statements or answers deemed improper on a separate sheet. Sign and attach.)			
CERTIFICATION OF SUPERVISOR			
I CERTIFY THAT THE FOREGOING INFORMATION, STATEMENTS AND ANSWERS ARE TRUE TO THE BEST OF MY KNOWLEDGE AND BELIEF.			
DATE	JOB TITLE AT TIME INVENTION WAS MADE		
PRESENT DUTY, TELEPHONE AND ADDRESS			
TYPED OR PRINTED NAME		SIGNATURE	

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